# AY 2020-21

# Research & Development Guidelines

# Dhofar University

**Department of Research**

**Approved by the University Council**

----------------------------------------The page is left blank intentionally----------------------------------------

# Table of Content

----------------------------------------The page is left blank intentionally----------------------------------------

# List of Abbreviations

| | |
|---|---|
| **ASIC** | Accreditation Service for International Schools |
| **AY** | Academic Year |
| **BFP** | Block Funding Program |
| **CAAS** | College of Arts and Applied Sciences |
| **CCBA** | College of Commerce and Business Administration |
| **CE** | College of Engineering |
| **CL** | College of Law |
| **CRC** | College Research Committee |
| **DR** | Department of Research |
| **DU** | Dhofar University |
| **CPI** | Dhofar University Course Pack Incentive |
| **DURC** | Dhofar University Research Centre |
| **DVC** | Deputy Vice Chancellor |
| **FP** | Foundation Program |
| **FPRC** | Foundation Program Research Committee |
| **FURAP** | Faculty mentored Undergraduate Research Award Program |
| **GRG** | Graduate Research Grant |
| **HEIs** | Higher Education Institutions |
| **IP** | Intellectual Property |
| **IPEC** | Institutional Proposal Evaluation Committee |
| **MoHE** | Ministry of Higher Education |
| **OAAA** | Oman Academic Accreditation Authority |
| **RG** | Research Grant |
| **RG score** | ResearchGate score |
| **SMEs** | Small Medium Enterprises |
| **TRC** | The Research Centre |
| **URC** | University Research Committee |
| **URG** | Undergraduate Research Grant |
| **VC** | Vice Chancellor |

# 1. Introduction

Research is an integral part of any academician's career growth and one has to make continuous endeavour to 'create knowledge' i.e. to do research. The faculty is expected to make such endeavours to keep a balance between teaching and the research.

Dhofar University (DU) recognizes research as one of the main pillars of academic excellence as explicitly mentioned in its mission statement. All efforts are being made to encourage research among its faculty members and to create a conducive environment for credible research. As a consequence, DU is currently ranked 2nd in Research among all private Universities in Oman based on its ResearchGate(RG) score. Despite being a relatively new institution, from 2009 until 2020, DU has been awarded twenty-seven faculty and student research grants from "The Research Council" in areas of Energy & Industry, Information Technology & Communication, Languages, Social Sciences and EcoHouse Project. Both OAAA and ASIC has awarded the "Satisfactory" and "commendable" status to Research standards at DU.

In its strategic plan DU has envisaged to create a hub of research activity beneficial to the region. To achieve this, DU established a Department of Research (DR) that works under direct supervision of the Deputy Vice Chancellor. It strives to create a favourable research environment within DU by encouraging, facilitating and promoting all research activities across the University. The DR works on three major principles i.e. engagement, innovation and impact.

The University also has a University Research Committee (URC) which is tasked to help DR foster and improve the conducive research within DU by managing internal Research grants.

As a part of its mission to promote quality Research and to become the hub of all Research activities in the region, DU has also setup a Research centre. The center focuses on niche areas of Research of regional importance, dealt with in different Research units and develop strategically important local and national topics. For more details, please refer to www. du.edu.om/research

## 1.1 Research Governance at DU

The research at DU is governed and funded at three levels i.e. at national level by The Research Council (TRC), at University level by Department of Research (DR), University Research Committee (URC), Institutional Proposal Evaluation Chair(IPEC) & Research Focal Point (RFP) and the Research centre, and at College/FP level by College Research Committee (CRC) or Foundation Program Research Committee (FPRC).

**National Level**
- The Research Council

**University Level**
- Department of Research
- University Research Committee
- TRC  Research Focal Point & Institutional Proposal Evaluation Chair
- Research Centre

**College/FP Level**
College Research Committee)/
Foundation Program Research Committee
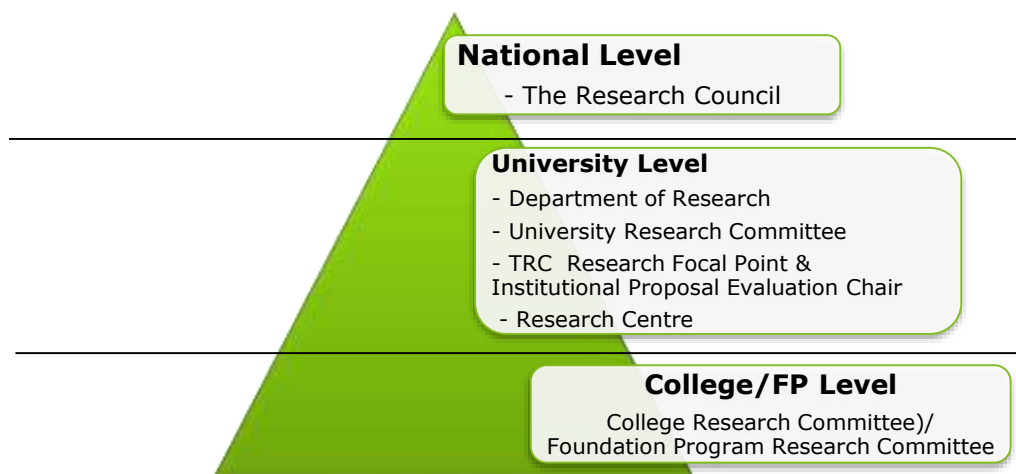
### 1.1.1    National Level: The Research Council

TRC is Oman's exclusive national research funding body and leader of research development in the country. TRC serves as a focal point and hub dedicated to promoting and supporting research, scientific enquiry, and innovation in the Sultanate of Oman. TRC provides research funds for faculty and students through various research grants. TRC manages the funded projects externally only. The Department of Research manages the grant internally at DU and ensures that the faculty and the students who receive research funds abide by TRC's policies, rules and regulations for that particular research grant. Following are the research programs set by TRC in light of Oman Vision 2020, the national plans and strategies of various sectors in the country, and an understanding of the successful experiences witnessed across the globe:

1. Block Funding Program (BFP): Includes Research Grant (RG), Graduate Research Grant (GRG) and Undergraduate Research Grant (URG)
2. Strategic Research Grant Program (SRG)
3. Smart City Platform
4. The National Research Award
5. Research and Innovations Award in Water Science
6. Upgrade Program
7. Adapting Towards Sustainable Development Program
8. EJAAD
9. Industrial Innovation Assistance Program
10. Conference and Workshop Support Program

*(For more details on TRC Research Programs please visit TRC website: www.trc.gov.om/programs)*
*(Source: TRC website: www.trc.gov.om)*


### 1.1.2    University Level: Department of Research

In the capacity of a principal Research agency, the main role of the DR is to provide Research leadership to the University, which entails the following responsibilities:

- Promoting and facilitating independent, collaborative and interdisciplinary Research & innovation in the University.
- Building and provide adequate support to develop a community of innovative researchers at the University.
- Developing networks between DU researchers, industry and the community with respect to Research initiatives of mutual benefit.
- Fostering and stimulating Research efforts and creative projects.
- Acting as a focal point between the University and TRC.
- To encourage and mentor the faculty members and students to obtain various Research grants from TRC or other external funding agencies.
- Developing and enhancing internal Research grants and identifying niche areas of interest important to Dhofar region in particular and Oman in general.
- Implementing and revising the Operational Plan for Research on an annual basis.
- Preparing the annual report and any other report related to the Research.
- Ensuring objective, ethical and responsible conduct of Research in the University.
- Establishing and reviewing research policies
- Promoting the strategic goal of DU being a hub of Research in Dhofar region.
- Guiding and facilitating URC in its operations.

### 1.1.3 University Level: University Research Committee

The URC manages DU internal grants. Its mission is to foster and improve the research environment at DU by assisting DR. It consists of two representatives from each College and a representative from the Foundation Program (FP) nominated by the Dean or FP Director for a term of two years, renewable for a similar term. The Chairperson, his/her assistant and any additional members are appointed by the DVC. The URC main tasks include:

- Formulating policies and guideline for the allocation of funds for Research
- Reviewing applications for conducting research or other works in DU that involved at a collection, interviews with DU community, and filling questionnaires to ensure ethics and bio-safety.
- Editing and publishing the research grants activities report of the University.
- Facilitate collaboration with other universities.
- Help the colleges organize international conferences at DU.

DU faculty members can receive following research incentives and grants after the approval from CRC/FPRC, Department Chair, Dean, URC, Department of Research and the DVC/ VC.

**Conference Grants**
- For attending national and international conferences

**Research Incentives**
- DU with an intention to support high quality publications, patents, consultancy activities and for approved course packs grant incentives to the academic staff

**DU Research Grants**
- Grant for supporting innovative research ideas and projects of national and regional importance

**Figure 1.: DU Internal Grants**

**For details refer to Section 2.0.**

### 1.1.4 University Level: TRC Research Focal Point & Institutional Proposal Evaluation Committee

As per the requirement by The Research Council (TRC); an exclusive research funding body and leader of research development in the Sultanate, DU has nominated a Research Focal Point (RFP) and an Institution Proposal Evaluation Chair who assists and guides the faculty members in applying for and managing the TRC funded grants.

### 1.1.5 University Level: Dhofar University Research Centre

As a part of its mission to promote quality Research and to become the hub of all Research activities in the region, DU has setup a Research centre. The center focuses on few niche areas of Research of regional importance, dealt with in different Research units. The clusters support and develop strategically important local and national topics such as Conservation of biodiversity, frankincense and medicinal plants, sustainable development of Dhofar mountains and coastal areas, issues related to livestock and agriculture, computer and information security, enhanced oil recovery, youth issues, languages, cultural heritage and society, improved traffic system, e-society in Oman, cancer detection and classification, remote sensing, Entrepreneurship and

Small and Medium Enterprises (SMEs) etc. For 'Frankincense, Medicinal plants & Biodiversity', a fully operational Research lab has already been setup and is operational.

## 1.1.6    College(FP) level: College (FP) Research Committee

The CRC /FPRC comprises of senior faculty members drawn from all the departments/ units of the college/FP who are entrusted with the task of fostering a good research environment in the college. All members are appointed by the Dean of the college/Director of FP and serve for a period of two academic years. The members are responsible for advising, formulating recommendations and providing information to the URC on University's Research operational and strategic plan, Research-education, policies, guidelines, procedures and evaluating internal grants.

## 1.1.7    DU Research Policies

DU has established policies for the implementation of various aspects of research and consultancy. These include:

**Consultancy Policy**
DU has a large pool of qualified and research-oriented faculty with a rich experience in consultancy and on the other hand, the Sultanate of Oman, and especially the Dhofar Region, is witnessing a rapid development in various sectors, which provides a huge scope for consultancy. In view of this, DU aims to provide a favourable atmosphere for its faculty and staff to embark on consultancy activities. The University considers consultancy as an essential professional activity related to the faculty's area of expertise, skills and research and a tool for providing solutions to various challenges in business, social, economic and technical areas. It is perceived as an activity that is mutually beneficial to the faculty, university, industry and society in general. DU considers consultancy work as an important contribution from the University to society, through the transfer of knowledge and expertise to businesses, industry and community.

**Intellectual Property Policy**
DU encourages and supports its students, faculty and staff members in bringing the results of their research, consultancy and other similar activities in diverse fields of knowledge to public use and benefit, and encourages their commercial development, subject to protecting the University's rights. The main aim behind developing the Intellectual Property (IP) Policy is to encourage advancement of technology and its transfer for public benefit. The policy defines the ownership and rights of the inventor(s)/creator(s) and the University and provides procedures, guidelines and a governing mechanism.

**Ethics Policy**
All living beings (human and non-human) have been bestowed with certain fundamental rights around the world. The purpose of DU Ethics policy is to respect the moral rights of living beings and also lay down fundamental ethical principles for all research activities conducted on them at University. DU also reserves the rights to protect non-human living beings and ensure that the experiments involving them are conducted in a safe and socially responsible manner. This policy applies to all leading investigators, staff members, students and researchers engaged in approved research projects on University premises which involve human, animal or genetic ethical considerations. The policy also applies to all DU contractors, suppliers and business partners, wherever appropriate.

**Bio-safety Policy**
The research activities carried out by DU staff members may involve the use of bio-hazardous materials or may result in the generation of bio-hazardous waste. The biosafety policy is to ensure

that all research activities involving bio-hazardous materials are well managed and controlled by providing comprehensible procedures and guidelines for approval of such research projects and for safe handling, storage, use and disposal of bio hazardous material. It is also ensured that the staff, students and researchers involved in these projects are aware of the risks associated with the handling of bio-hazardous materials and take the necessary precautions.

**Research Ethics and Code of Conduct Policy**
The purpose of this policy is to establish fundamental principles of research ethics and code of conduct which will serve as the foundation for research conducted at DU. The University expects all those conducting research to honor these principles and adopt them as standard practice, irrespective of whether they are employees, students or visiting researchers and irrespective of the source of their funding or the field in which they conduct their research or the site where the research is conducted. However, there are bound to be instances of violations of research ethics and code of conduct. Therefore, it is necessary to provide a well-defined procedure for ensuring adherence to research ethics and code of conduct.

## 1.1.8    Professional Development for Research

DU provides well-defined and organized professional development opportunities to its academic staff to ensure that they have the appropriate skills and expertise to achieve DU's strategic objectives for research. The University provides both in-house and external professional development opportunities. Staff development needs are linked to annual appraisal results and contemporary developments in the field of teaching, learning and research, which help the staff in maintaining their academic currency and support their scholarly activities.

## 1.1.9    Research and Scholarly Activities as a Criterion for Appraisal and Promotion

"Research and Scholarly Achievements" is one of the three criteria used in the "Annual Appraisal" of academic staff and carries a weight of 50% while teaching & learning holds 40% weightage and the community service has 10% weight. The staff-members with average performance in this criterion are identified for research training activities. It is also one of the three criteria used for "Academic promotion".

## 1.1.10   Research-teaching Nexus

The research Teaching Nexus provides the opportunity for faculty to integrate research in their teaching and produce the successful scholarly outcomes. DU encourages staff to incorporate their research activities and the contemporary researches in the field into curricula to foster student interest in research and for understanding its benefits. This helps in motivating and encouraging more student's participation in research projects.

# 2. Research Grant & Incentives Guidelines

Currently, DU supports following funding schemes and incentives:

1. **Conference Grant (CG):** The Conference Grant (CG) is to cover physical and online participation in conferences.

2. **Dhofar University Research Grant (DURG**): Dhofar University promotes collaborative or group research projects of importance to the University and Oman.

3. **Research Incentives (RI):** DU with an intention to support high quality publications, patents, consultancy activities and for approved course packs grant incentives to the academic staff.

Details and guidelines related to each of these funding schemes and incentives are as follows:

## 2.1 Conference Grant (CG)

The faculty members at Dhofar University can apply for two types of conference grant: Traditional Conference Grant (TCG) (In person attendance) and the Online Conference Grant (OCG).

### 2.1.1    Traditional Conference Grant

The TCG is awarded to the faculty members who intend to present their research work in national and international conferences. The faculty members can claim a maximum of 1000 R.O.

#### 2.1.1.1    Conditions for TCG application
The faculty members seeking to apply for TCG must fulfill the following conditions:

a. Applicants should have completed one year of service at DU.
b. The part-time faculty members are not eligible for TCGs.
c. Faculty who apply to attend a conference without presenting a paper will not be funded. For multi-author publications, only one TCG will be granted to one of the authors.
d. The funding period will be for full year i.e. September–August. The conferences held during the examination or registration period will be funded based on department chairperson and college dean approval.
e. Only those TCG applications will be considered where conference is organized by internationally recognized societies (as per its discipline) or top 500 Universities (as per the QS ranking). For Law, Arabic and Humanities, TCG applications will be considered where the conference is organized by the top 100 Arab Universities (as per QS ranking).
f. The conference should not be multidisciplinary in nature and should not be organized more than 2 times a year.
g. Technical committee should be composed of members from different international Universities if the conference is organized by an internationally recognized society only.
h. International conferences are those held outside Oman while national conferences are those held inside Oman.
i. The similarity index for the conference paper should be as per the guidelines of academic integrity policy.

j.  Applicant should have at least one publication indexed in Scopus or Web of Science, DU list A for Law, Arabic and Humanities, or published in any peer reviewed journal (for FP faculty only) since last funded TCG (if applicable).
k.  Applicant home country conference will not be funded during summer vacation.
l.  Applicants should clearly state whether they have received, are receiving, or will apply for funds from another external source.
m.  The paper should represent original research that contributes to advancing the knowledge of the research field of the applicant with DU affiliation only even if applicant have an external fund.
n.  Applicants will receive TCG once per academic year.
o.  The Grant covers per diem, registration fee, visa fee, the cost of travelling to obtain the visa (if needed) and an airplane ticket. The total cost should not exceed the budget cap of conference grants for all mentioned expenses.
p.  For international conferences, the total per diem will be awarded according to the duration of the conference (100 R.O per day) in addition to the two days of travel. In all cases, the total per diem allowance should not exceed 500 R.O.
q.  For national conferences, the total per diem will be awarded for the duration of the conference (80 R.O. per day) only.  In all cases, the total per diem allowance should not exceed 400 R.O.
r.  The duration of a TCG for an international conference should not exceed five calendar days i.e. leave starting one day before and ending one day after the event irrespective if it will fall over the weekend or the weekday. The Dean has the right to grant additional days of paid leave if necessary. For national conferences, the leave will be granted only for the duration of the conference.
s.  Applicant should present his approved research work for CG at the departmental or College level. The CRC/FPRC in each College/FP should be responsible for organizing the presentations.
t.  From each college, only one TCG will be granted to a faculty member for the same conference.

## 2.1.2   Online Conference grant (OCG)

Taking into consideration the prevalence of COVID-19 pandemic around the globe, numerous precautionary measures have been taken by many countries including closure or restricted air travel. In view of the same, various international societies and universities had resorted to online conferences to continue with the research initiative of academics across the world. Considering this, DU has decided to allow online line conference paper presentation and attendance for the academic year 2020-21 only. This initiative will help support our faculty to continue with their research endeavors by attending such scientific forums by exchanging research experiences and building research networks.

### 2.1.2.1   Conditions for OCG application
The conditions to apply for OCG are similar to TCG with the following exceptions:

a)  The Grant will cover registration fee only to a maximum limit of 200 R.O.
b)  Faculty in the academic rank of lecturer shall be given preference in funding.
c)  Only those OCG applications will be considered where conference is organized by internationally recognized societies (as per its discipline) or top 1000 Universities (as per the QS ranking). For Law, Arabic and Humanities, OCG applications will be considered where the conference is organized by the top 120 Arab Universities (as per the QS ranking) .
d)  The conference should not be multidisciplinary in nature and should not be organized more than 2 times a year.

e) Applicants will be eligible to receive OCG twice per academic year, once in each semester, subject to availability of funds.

f) From each college, two faculty member can participate in the same conference.

### 2.1.3 Procedure for application for a TCG and OCG

The application for a TCG/OCG will pass through different stages of evaluation. Below are the several steps to be taken from the submission of a paper to a conference until the final decision by the DVC/VC.

a. Submit your paper to a conference/workshop/exhibition. The event should be for professionals in the respective field of specialization of the presenter or closely related field. The submission cycle will start from September 1st and ends on 31st May of each academic year as per the University academic calendar.

b. Once you have received a notification that your paper is accepted for presentation, fill out the TCG/OCG application form downloadable from DU website.

c. Ensure that you have attached all necessary attachments as mentioned on the TCG/OCG application form before submission.

d. Submit the complete TCG/OCG application electronically with required documents to your Department Chair.

e. The Chair will forward the approved application electronically within two days of submission to the College Research Committee (CRC) Chair.

f. The CRC chair will forward the approved applications electronically to the respective College within two weeks of receiving the application.

g. Applications rejected by the CRC should not be sent to DR. The CRC Chair is responsible to inform the applicant regarding the rejection of application officially.

h. After the approval of the Dean, the Dean's office shall send the application electronically to the Department of Research within two day of receiving from CRC.

i. DR will forward the applications to the University Research Committee (URC) Chair within two days of receiving them from the College Dean

j. After evaluating the application, the decision of the URC shall be communicated electronically to DR within two weeks from the date of receipt from DR.

k. DR after approval will forward the applications to DVC/VC within two days of receiving the decision from URC for final approval. Simultaneously, DR will notify regarding rejection of application to the concerned applicant.

l. After approval of DVC/VC, DR will notify the applicant regarding the approval of the application.

m. Applications must be received by the DR at least three weeks prior to the date of event and by the DVC atleast one week prior to the date of activity.

n. As soon as the applicant receives the official approval, he/she must fill out the Research Leave Form. The applicant should then give a copy of his/her grant approval and the Special Leave form to the chair of his/her department, to be forwarded to the dean and then to the Human Resources. The HR will process the application based on the notification by the DR. The applicant should also send a copy of the Leave form, a copy of the letter of approval he/she received and the CG approval to the Department of Finance.

o. The applicant should clear all advances within two weeks after the date of the conference by providing the receipts for registration fee, visa fee and ticket to the Department of Finance. For OCG only the receipt for registration fee will be required. Failure to do so will result in the full amount being deducted from the applicant's salary for the next commencing month.

## 2.1.4    Availing and Claiming Conference Grants

During the academic year 2020-21, faculty members cannot avail both types of conference grants (TCG & OCG). Once OCG grant is approved and availed, it will automatically make the applicant ineligible for the TCG grant. Both OCG and TCG grants shall be subject to the availability of the research budget and the last date could be preponed or extended based on the budget availability. DR shall send out an intimation about the same to all academic in DU.

It is possible that the applicant receives the funds before he/she travels if, along with the Leave form and the TCG approval, the applicant submits:

a)     Proof of payment of registration fees
b)     Proof of payment of visa fees (if applicable)
c)     Proof of payment of airline ticket

In either case (receiving payment before or after the event), it is the applicant's responsibility to call/e-mail/follow up with the Department of Finance to receive his/her payment.



**Figure 2.: TCG/OCG Application Process**
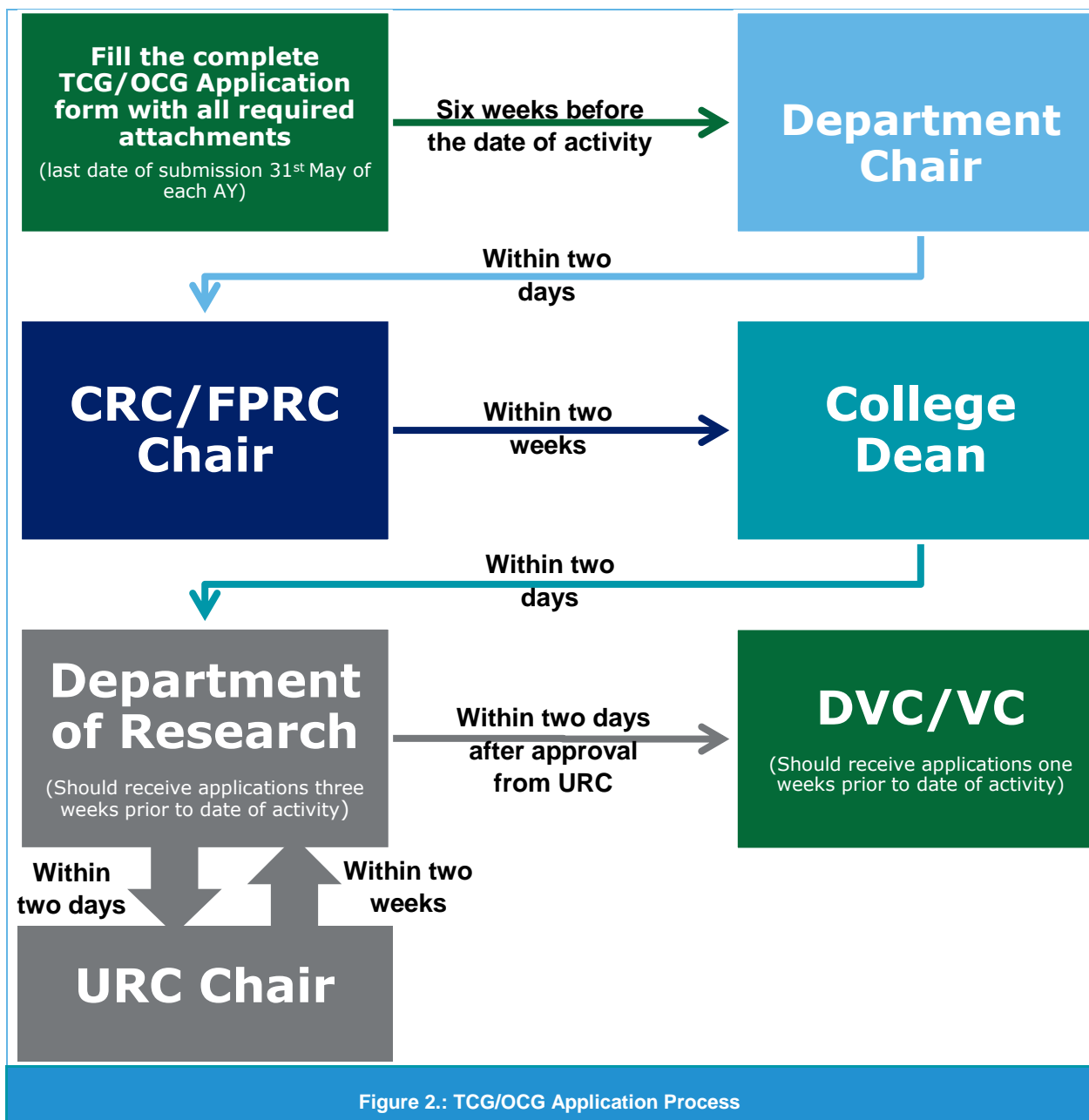
## 2.2 Dhofar University Research Grant (DURG)

Dhofar University Research Grant (DURG) is intended to support the academic research work of the DU faculty that is expected to yield innovative results or findings consistent with the university research and educational objectives. DURG are awarded to support collaborative/group research projects. The project budget should not exceed 1500 R.O. The number of funded projects will depend on the total allocated budget for DURG each year, however, it is expected that each College and FP succeeds in getting one grant each.

### 2.2.1    Conditions for a DURG applications

a)    Only group/collaborative proposal applications are accepted.

b)    The Research team should include a Principal Investigator (PI) and a Co-Principal Investigator. The Co-Investigators can be added If deemed necessary. The PI and Co-PI should be from DU, however, the Co-investigators can be from any collaborative international or national organization or HEI.

c)    In case of collaborative research project with external organizations/HEIs, the funds can be utilized by the DU faculty only for travel within Oman.

d)    The faculty member should have completed one year at DU if he/she wishes to apply for the DURG.

e)    Funding is for one academic year only and the funding period will start from 1st September to 31st May of each academic year.

f)    The research topic should have relevance to DU or related to an area of concern for DU.

g)    Funding for the grants is competitive.

h)    The applications will be evaluated based on three criteria i.e.
- Research Excellence (40%)
- Expected Impact for DU (40%)
- Research profile (20%)

i)    The evaluation done by CRC/FPRC will have a 50% weightage of the total score whereas the evaluation by URC will have a weightage of 30% while the evaluation by the Department of Research will have  a weightage of 20% of the total score.

| No. | Evaluation by | Criteria | Weightage |
|---|---|---|---|
| 1 | CRC/FPRC | Research Excellence (40%)<br>Expected Impact (40%)<br>Research Profile (20%) | 50% |
| 2 | URC | | 30% |
| 3 | DR | | 20% |
| | | **Total Score** | 100 |

j)    The research excellence criteria evaluation will be consisted of, but not limited to:
- Novelty and originality of the research objectives
- Research significance
- Clarity of the proposal
- Literature and/or  patent reviews (where appropriate)
- Methodology
- Benefit to Oman and DU
- Budget allocated
- Prior research publications related to the proposal (if any)

whereas the expected impact will be evaluated based on, but not limited to:
- Capacity building e.g. Involvement of DU students
- Selection of Research topic if it address the current DU challenges

- Collaboration with other national/international institutions with aim to develop research networks
- Number of expected publications that are going to result from the submitted proposals with an aim to publish in Scopus or Web of Science
- Expected number of Intellectual Properties (IPs)

Similarly, the research profile of the research team will be evaluated based on, but not limited to:
- No. of Publications in Scopus/Web of science or DU list of RAJ-A in last 5 years
- RG Score
- No. of citations
- No. of TRC approved project

k) The CRC/FPRC/URC must include written justification for its decisions about each application.
l) Grants will not be extended from one fiscal year to the next. Failure to use grants in a timely manner may jeopardize eligibility for new DURG grants.
m) An applicant could be given a semester extension by the Department of Research (upon URC's recommendation) in a special case (to complete the outcomes of the project).
n) A final report shall be submitted by the project awardees to the Department of Research along with Turnitin report within two weeks of the completion of the project.
o) The final reports will be forwarded to URC for evaluation.
p) The successful DURG recipient will also have to deliver a presentation (at college level) and participate in DU Annual Research Day (as an oral or poster presenter).
q) The PI should submit purchase request to the DR for any purchases mentioned in the approved budget. The purchase request should be comprised of a memo detailing the item to be purchased, quotation of the requested item and the purchase order form duly signed by the PI (downloadable from DU website).
r) The PI can request for 50 R.O. petty cash only by submitting a purchase order as per the policy of the Department of Purchase for items to be purchased online or minor items to be purchased from local market.
s) Movement of budget between the categories is allowed (if justified).
t) All property (equipment, materials etc.) must be returned back to DR after project completion.
u) Electronic items including laptops, hard disks cannot be requested in the project budget.
v) DU students involved in the project can receive a stipend of 20% of approved budget (in accordance with TRC guidelines i.e. 3 R.O./hr for an Undergraduate RA and 5 R.O./hr for a Graduate RA provided it is included in budget details of the submitted proposal.
w) The process of hiring an RA is similar to the hiring process for TRC approved grants (please refer to the Document "Guidelines for approved TRC project, Section 2.0" downloadable from DU website).

### 2.2.2 Procedure for application for a DURG

The Research team willing to apply for DURG should follow the following procedure:
a) The application must be submitted by the PI. The CRC/FPRC of his/her respective college/FP will normally evaluate the group application. However, CRC/FPRC may seek help from other colleges/external experts if required.
b) Prepare a research proposal following the outlines (given in Section 2.2.3).
c) Fill out the DURG application form downloadable from the DU website.
d) Submit the application (enclosing the application form, DURG proposal form, quotation of items requested, Turnitin report and the publication details related to the project)

electronically to the department Chairperson not later than 31st March of each academic year.

e) The department chairperson after approval shall forward the application electronically to the CRC/FPRC Chair of their respective Colleges within two days of receiving it from the applicant.

f) The committee after receiving all applications shall evaluate them based on the above defined criteria. In case of collaborative projects, CRC/FPRC may occasionally seek evaluations from other colleges/external experts.

g) The applications along with committee recommendations and score (out of 100) will then be forwarded electronically to the College Dean by the CRC Chair within two weeks of receipt of the applications (15th April of each academic year).

h) The Dean after approval will forward the applications to the DR electronically within two days of receiving the applications.

i) The DR shall receive applications from all Colleges not later than 20th April of each academic year.

j) DR will forward the applications along with the committee score and recommendations to URC Chair not later than two days from the date of receipt from College Dean.

k) The URC will evaluate the applications based on the above defined criteria and be given a score (out of 100).

l) The URC Chair shall return the applications along with their scores and recommendations to the DR within two weeks from the date of receipt of applications (10th May of the academic year).

m) The applications will then finally be evaluated by the DR and will be ranked on proposal ranking form. DR will forward the final ranking to DVC/VC for final approval within ten days after receiving from the URC chair (20th May).

n) The DR will announce the results after approval by the DVC/VC on 30th May of each academic year.

o) The research team after accomplishing the project outcomes would be awarded an appreciation certificate on annual research day.

p) For Academic year 2020-21 only, the last date for submission of application will be 31st September, 2020 whereas the funding period will be from 1st October, 2020 to 31st May, 2021.

### 2.2.3    Outline of the Research Proposals for DURG

The proposal must include the following:
a) Title of the project.
b) Summary of proposed work/graphical abstract if applicable
c) Introduction and objectives.
d) Significance of the project.
e) Benefits to Oman and DU.
f) Methodology.
g) Outline of the proposed activity i.e. the timeline of services to be undertaken and milestones to be achieved.
h) Itemized budget in R.O.
i) Deliverables i.e. details of key outcomes, KPI, capacity building, expected publications
j) References.

### 2.2.4    Support Materials Required

a) List of last 5 years' publications related to the project. (The applicant can attach previous publications in case he/she did not publish in last 5 years.)
b) If applicable, a list of publications that have resulted from the previous DURG /TRC grant.

c)      A pdf copy of Turnitin report of the submitted proposal as per the academic integrity policy guidelines.
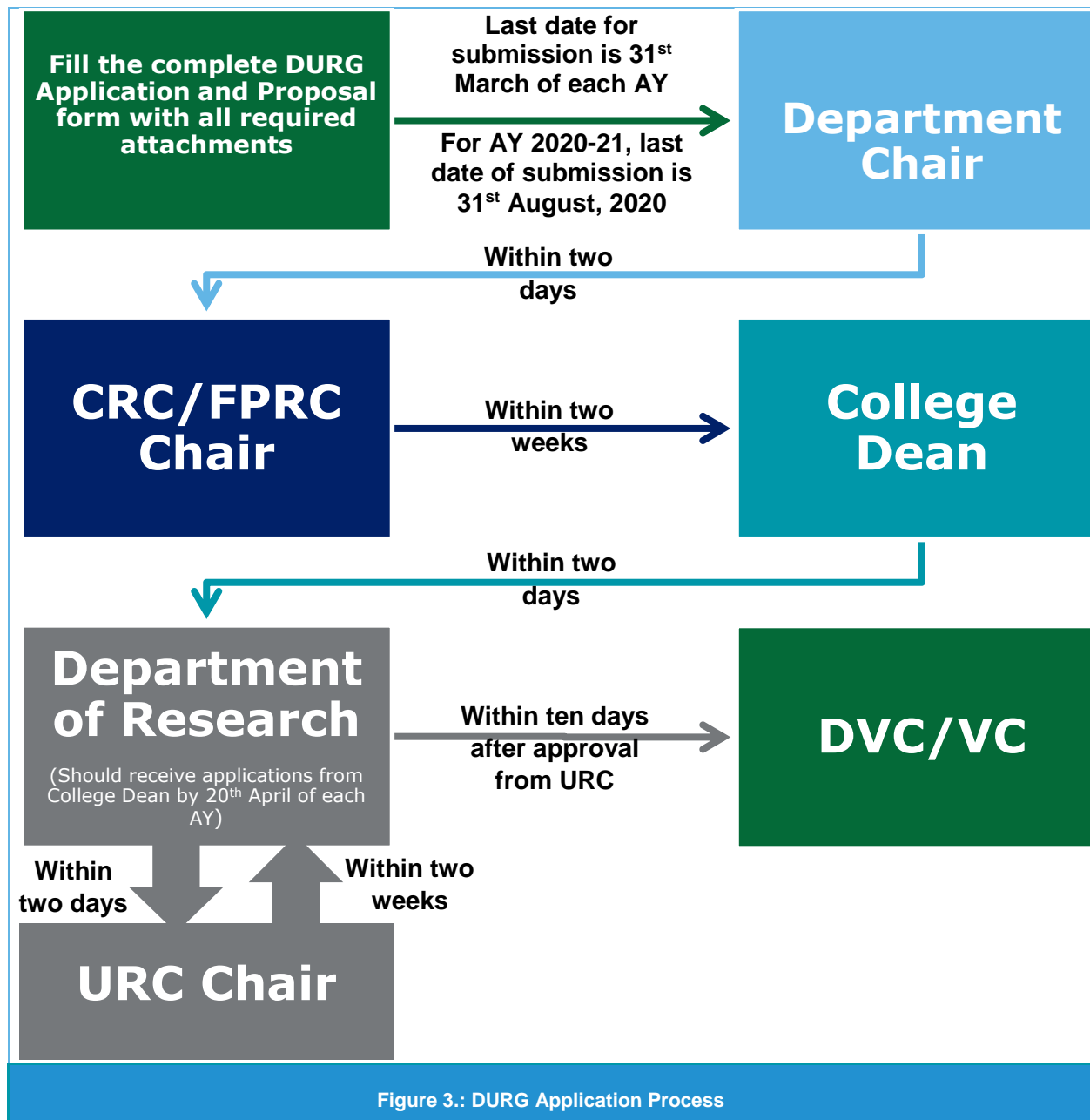
## 2.3 Research Incentives (RI)

DU strongly believes that faculty should be rewarded for their research productivity. Following are different type of incentives a faculty member can apply for:

### 2.3.1      Incentives for Publishing Papers (IPP):

The faculty members who publish a paper in a journal indexed in Web of Science (with or without impact factor), Scopus or DU list A of Refereed Arabic Journals (RAJ-A) during the academic year will be eligible for a monetary incentive for each paper (subject to budget availability). The following conditions apply for RI claims:

**2.3.1.1       Conditions for an IPP application**
a)      The paper should be published with DU affiliation only. Dual affiliation will not be accepted.

b) For faculty members who teach only in Arabic; where publishing in Scopus or Web of Science is limited can claim for incentives for papers published in DU list of RAJ-A.

c) There are TWO LISTS of Refereed Arabic Journals acceptable to DU for publication:
   - **DU List A of Refereed Arabic Journals (RAJ-A)**
   The list A contains journals recognized by DU as equivalent to publications in Scopus or Web of Science (**without IF**).
   - **DU List B of Refereed Arabic Journals (RAJ-B)**
   The List B contains journals recognized by DU as equivalent to Peer Reviewed Journals. Any other journal not in the list will not be considered as PRJ publication.

d) If the paper has been published in Scopus, the applicant should ensure that his publication is appearing in "Scopus author preview" (https://www.scopus.com/freelookup/form/author.uri) prior to applying for RI. If the paper is indexed in Web of Science, the journal should appear in the Master Journal List for Web of Science only (https://mjl.clarivate.com/home). For Arabic journals, the journal should appear in DU List of RAJ-A.

e) A copy of the paper, the clear evidence of impact factor and that the paper has been indexed in Scopus, Web of Science or DU list A of RAJ must be presented along with the application.

f) Evidence of uploading the paper or its abstract on Research Gate (RG) should be attached.

g) Papers published online having volume and issue number will be considered.

h) A faculty member claiming for an incentive for a paper, cannot use the same paper to fulfill the mandatory requirement as per AFAR.

i) A faculty member can claim incentives for a maximum of four papers only per academic year. However, more papers will be considered subject to the availability of the budget during the Academic year. The additional papers can be from either Table 1 or Table 2.

j) Out of the four papers, a maximum of two papers should be from Table 1 and the remaining two papers should be from Table 2. However, the faculty can have all four papers from Table 1 provided the third and fourth paper are:
   - in journals indexed in Web of Science with IF and Q1 and Q2 rankings (as in SJR Rankings-https://www.scimagojr.com/journalrank.php)-*For publications in English only*
   - in DU List A of Refereed Arabic Journals provided the journal is published by the top 20 Arab Universities (as per the QS rankings) and is have continuous issues published from last 10 years )-*For publications in Arabic only.*

k) A faculty can claim for maximum of two papers published in the same journal for incentives during an academic year.

l) Papers published in hijacked journals, blacklisted journals, and predatory journals shall not be considered for incentives.

m) Faculty should deliver a research seminar after getting incentive at the college or department level. The CRC/FPRC in each College/FP should be responsible for organizing the presentations.

n) For the faculty members who are teaching programs fully delivered in Arabic Language in the College of Law, Departments of Education, Social science, Arabic Language and Literature, Management and Accounting can only claim for incentives for publications in the journals included in DU List of RAJ-A.

o) The students undertaking Final Year Projects and Master Thesis are required to be active researchers under the supervision of the faculty assigned to them. The supervisors are encouraged to jointly publish the findings coming from such research projects and theses. In order to recognize the students' research, the faculty can claim for incentives provided student paper is driven from Master thesis or Final Year Project and DU student should be the first author.

**Table 1**

| 1st Author or Corresponding Author | | Second Author or Lone Author from DU | |
|---|---|---|---|
| Web of Science with IF | Scopus, Web of Science (Without IF) and DU List A of RAJ | Web of Science with IF | Scopus, Web of Science (Without IF) and DU List A of RAJ |
| 300 | 200* | 200 | 100 |

*only first author will be eligible*

**Table 2**

| Research paper in Collaboration with DU Students | |
|---|---|
| 1st Author or Corresponding Author or only one DU faculty in case of Subsequent Author | |
| Web of Science with IF | Scopus, Web of Science (Without IF) and DU List A of RAJ |
| 300 | 200 |

### 2.3.1.2 Procedure for a IPP application

a) The applicants after receiving official notification regarding their research work being published in respective journals indexed in Web of Science (with or without impact factor), Scopus or DU list of RAJ-A should fill out the RI form downloadable from DU website.

b) Last date for submission of applications will be 31st May of each AY, however, the deadline might be extended depending on budget availability.

c) The application should then be submitted to the Department Chair electronically with all necessary attachments.

d) The Department Chair after approval should then forward the application electronically to the CRC/FPRC Chair within two days of receiving the application from the applicant.

e) The CRC/FPRC Chair shall forward the application along with their recommendation electronically to the DR within one week from the date of receipt of application.

f) DR will seek the opinion of URC and will forward the application to URC for final evaluation within two days of receiving the application.

g) The URC Chair shall return the application along with their recommendation electronically to the DR within one week of receiving the application from DR.

h) The DR after approval will forward the application to DVC/VC for final approval within two days of receiving the recommendations of URC.

i) After all necessary approvals, the DR will send a letter of approval to the applicant. Simultaneously, DR will notify the applicant regarding rejection of their application.

j) It is the applicant's responsibility to call/e-mail/follow up with the Department of Finance to receive his/her payment

## 2.3.2 Incentives for Book and Book Chapter (IBB)

Similar to IPP, DU recognizes the importance of book and book chapter publication and believes that faculty members should be rewarded for publishing them. The incentive application for book and book chapter shall meet the following conditions:

### 2.3.2.1 Conditions for an IBB application

a) A book/book chapter should be published by nationally or internationally recognized publisher with DU affiliation and verified by CRC/FPRC/URC. For example, well-known publishers include Springer, Taylor & Francis, Elsevier etc.

b) The book must be published and assigned an ISBN number.

c) Applicant having more than one chapter in the same book can claim for a maximum of two chapters.

d) The first few pages of book; where details of authors, publishers, ISBN numbers, publication year etc. are mentioned, should be attached to the application.

e) A faculty member can only claim for a maximum of two book chapters per academic year.

f)   The faculty should claim the incentive for book or book chapter as per Table 3 and Table 4 respectively.

g)   Faculty should give a research seminar after getting incentive for Book or Book Chapter at the college or department level. The CRC/FPRC in each college/FP should be responsible for organizing the presentations.

**Table 3**

| Book (National or International-irrespective of author order) | |
| --- | --- |
| Indexed in Scopus/Web of Science/Verified Arabic Publishers | Not indexed in Scopus/Web of Science/Verified Arabic Publishers |
| 300 | 200 |

**Table 4**

| Book Chapter (National or International) | |
| --- | --- |
| Authorship | Indexed in Scopus/Web of Science/Verified Arabic Publishers |
| First or Corresponding Author | 150 |
| Second Author | 100 |
| Third Author and onwards | 75 |

### 2.3.2.2   Procedure for an IBB application

The procedure to apply for an IBB application is similar to that of an IPP application with following exceptions:

a)   The applicants after receiving official notification regarding their book/book chapter being published with DU affiliation only by nationally or internationally recognized publisher verified by CRC/FPRC/URC or indexed in Web of Science (with or without impact factor), Scopus should fill out the RI form downloadable from DU website.
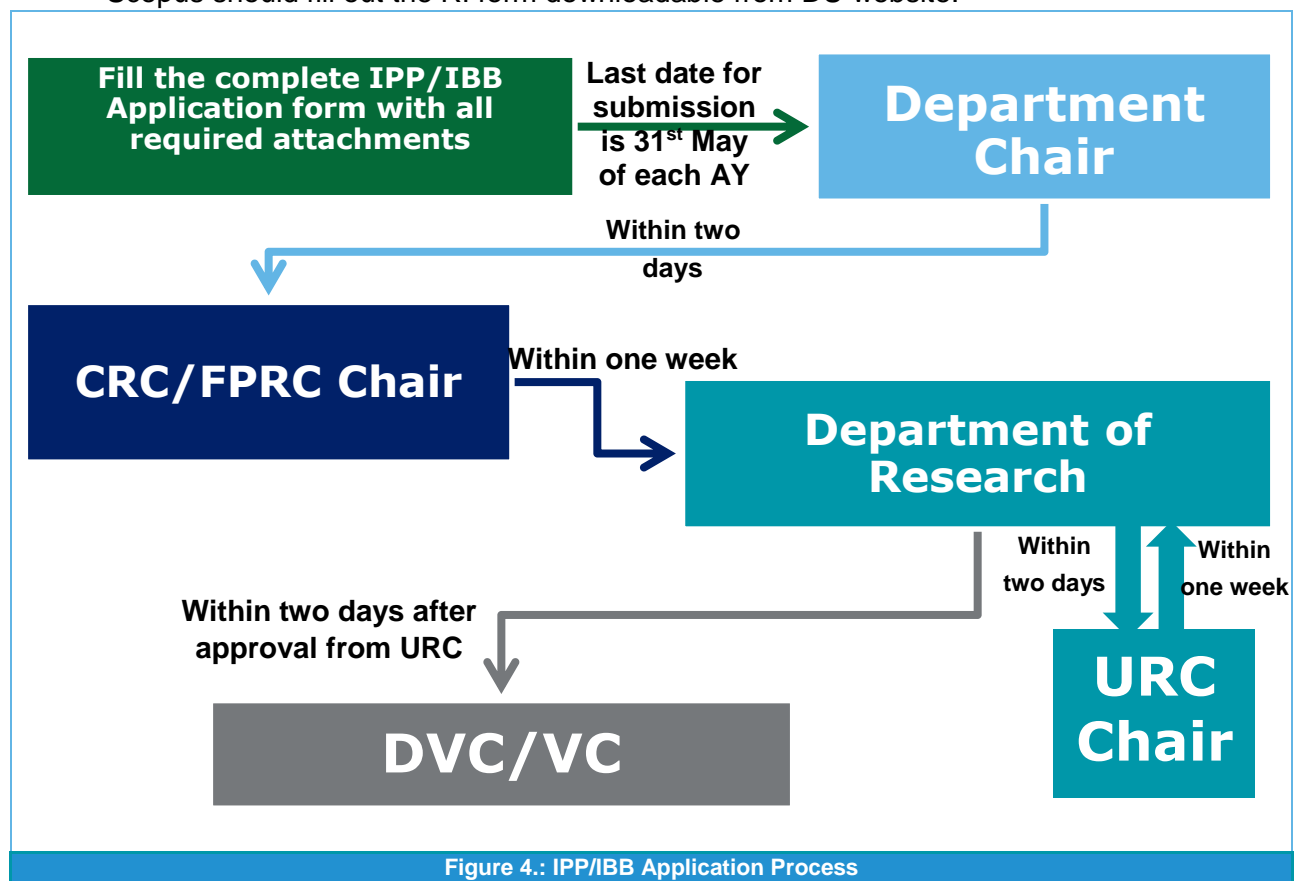


Figure 4.: IPP/IBB Application Process

### 2.3.3    Incentives for Patents

A faculty in whose name a patent is registered (either nationally or internationally) while in the service of the University and with University affiliation shall be eligible for a cash reward of R.O. 300 and a Letter of Appreciation to be awarded on Annual research day.

### 2.3.4    Consultancy

A faculty engaged in Consultancy Activity while in the service of the University (R.O. 2,000 and above) and with University affiliation shall be eligible for a cash reward of R.O. 300 and a Letter of Appreciation to be awarded on Annual research day.

### 2.3.5    Course Pack Incentive (CPI)

Dhofar university has decided to facilitate the students, faculties and society for long-term teaching and learning process by initiating the preparation of course packs for different courses. The course packs will consist of teaching materials, exercises, sample exams etc. prepared in accordance with the course syllabus.  The accessibility of students and faculties to a standardized course pack will definitely improve the overall quality of education in DU. Thus, DU has decided to reward the faculties involved in developing course packs with specific incentives termed as Course Pack Incentive (CPI).

**2.3.5.1    Conditions for CPI application**

a)    The applications should be submitted as a group with minimum two faculty members.

b)    The course pack would be prepared in step wise manner for selected course approved by the DR (preferably University and College requirement courses initially).

c)    Each approved course pack will be valid for three years where DU will reserve the exclusive ownership rights for the same period.

d)    After the three-year period the copyrights shall be transferred to the authors. However, DU shall retain the right to use it for its stakeholders only and cannot share the same with any outside party (a complete procedure on IP rights will be circulated).

e)    The CPI awardees should be a group of faculty members working in the DU.

f)    Awardees are nominated on the basis of a submitted course pack application that is evaluated based on but not limited to the proposal submitted

g)    The DR will decide to grant an incentive of 500 R.O. per course pack to successful CPI awardees.

h)    The course pack can be in one of the two languages (Arabic or English) because there are programs in Arabic.

i)    Applicants should have taught that course for at least 4 times at DU.

j)    All Applicants should be from DU.

k)    There will be two submission cycles i.e. first cycle will be from 1st September to 30th September while the second cycle will be from 1st February to 28th February of each academic year.

l)    Once approval is received the full course pack should be submitted by the applicants from cycle 1 at most by 31st May of the same academic year while the full course pack should be submitted by the applicants from cycle 2 at most by 31st October of next academic year.

**2.3.5.2    Procedure for Course Pack Proposal Submission**

Faculty members willing to submit course pack proposal should follow following procedure:

a)    Prepare the proposal as outlined in Section 2.3.5.3.

b)    Fill out the course pack proposal form that can be downloaded from the DU website.

c)   Submit the application form with all necessary attachments electronically to the department chairperson.

d)   The Department Chair after his approval shall forward the application electronically to the Chair of APDRC within one week of receiving the application.

e)   APDRC will review the application under the provided evaluation criteria (see Section 2.3.5.7).

f)   APDRC shall return the application with its recommendations to the applicant if there are minor concerns for rectification and improvement and resubmission within one week.

g)   APDRC will forward the application along with their final recommendation electronically to the DR within two weeks from the date of receipt of application from Department Chair.

h)   The DR will forward the application to the DVC/VC for final approval within two days of receiving the application.

i)   After the approval of DVC/VC, DR will inform the applicants to start working on the course pack.



**Figure 5.: Course pack Proposal Submission Process**
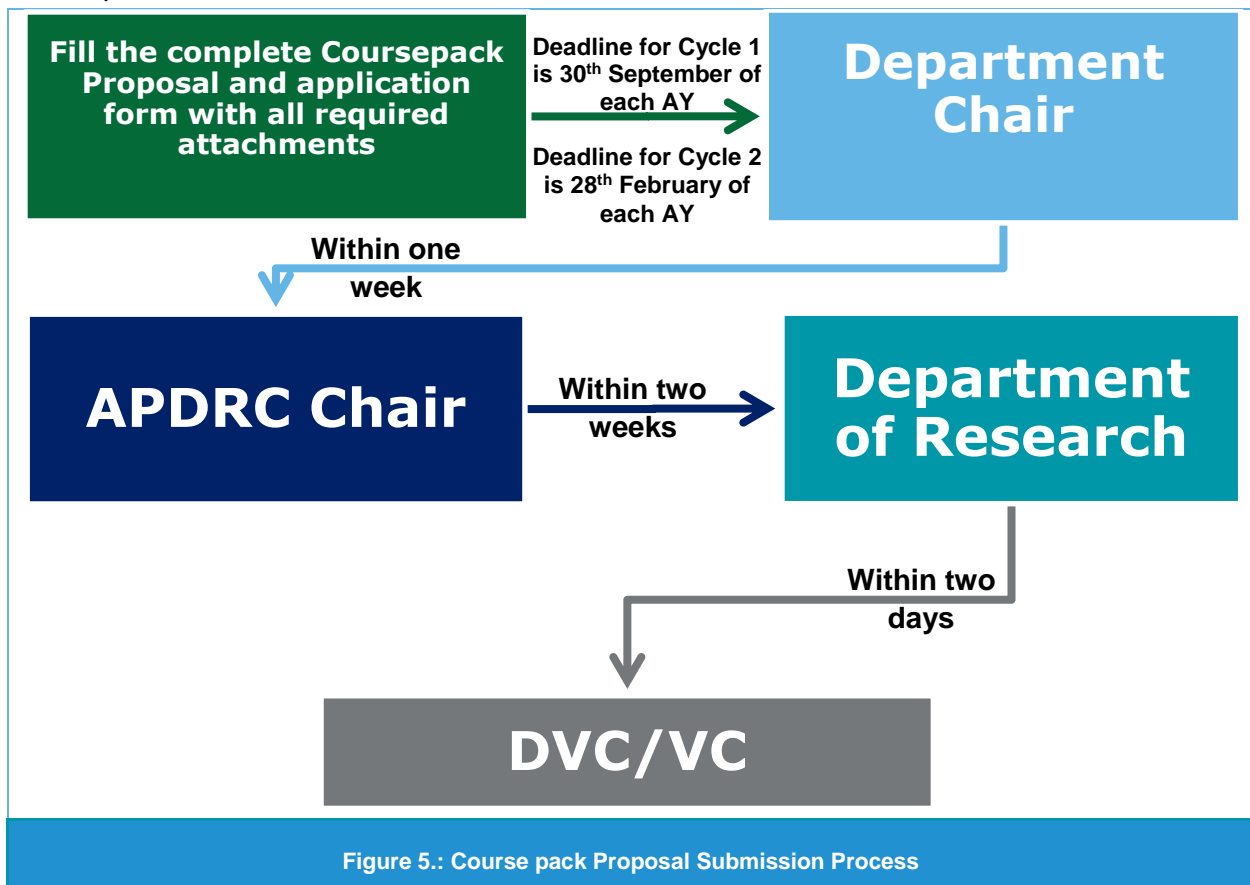
### 2.3.5.3    Guidelines for the Course Pack Proposal

The course pack proposal application consists of an application form (downloadable from DU website) and a proposal for course pack. The proposal should include, but not limited to, the following:

a)   The code and title of the course

b)   Course description

c)   Proposed Teaching Strategies

d)   Course learning outcomes

e)   Table of contents that includes week by week plan of the course (the course pack should ideally be for a minimum of 40 one hour lectures)

f)   Mapping the contents with the course learning outcomes.

g)   A short biography of the applicant as well as other group members.

### 2.3.5.4 Procedure for Complete Course Pack Submission

a) After receiving the official approval from DR, the team shall start working on course pack.

b) As soon as the course pack is ready, the group members shall submit a Course pack application form (downloadable from DU website) along with the detailed course pack electronically to the Department Chair within 8 Months from the date of receipt of approval.

c) The Chair will evaluate the submitted course pack and only once satisfied shall forward the same to the chair of the APDRC electronically within one week of receiving it from the applicant.

d) APDRC will evaluate the course pack application and will forward the approved applications electronically along with their recommendation to the DR within two weeks from the date of receipt from the department chair.

e) APDRC shall also suggest names of atleast 10 external reviewers for external review process.

f) DR will select the external reviewers and send the course pack for evaluation to any two external reviewers.

g) DR shall return the application to the group members if any changes are recommended by the external reviewers. The members shall resubmit the updated course pack to DR within two weeks which will ensure that all suggested changes are incorporated.

h) The external reviewers will be given a one month to evaluate the course pack.

i) Once approved by the external reviewers, the DR shall forward the course pack to the DVC to take a final decision and approval.

j) DR will intimate and Inform the applicant about the final decision.



**Figure 6.: Complete Course Pack Submission**
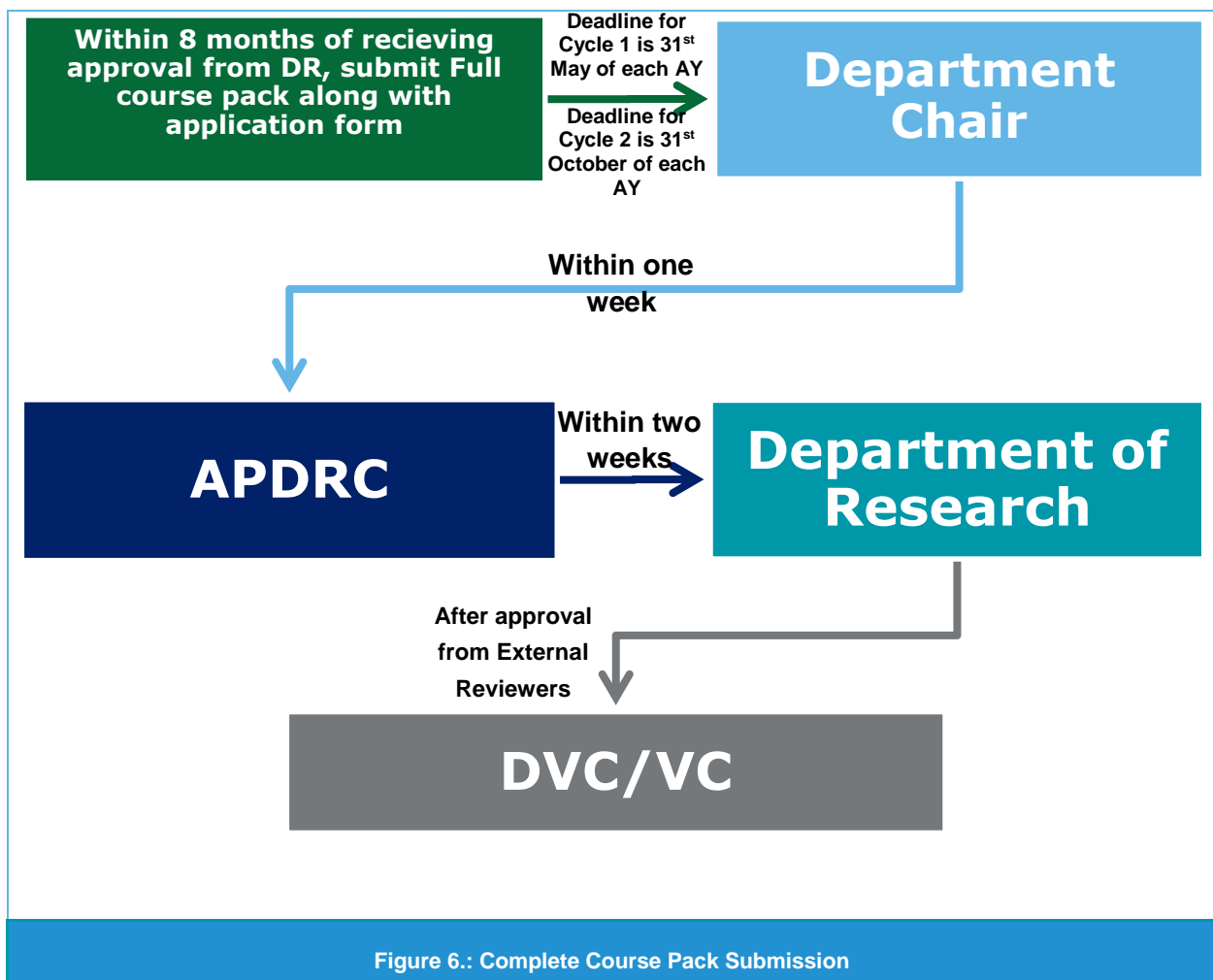
**2.3.5.5 Guidelines for the Preparation of Complete Course Pack**

The course pack should include, but not limited, to the following:

a) Course Syllabus

b) Lecture wise content

c) Assessment/practicals

d) Mapping of course learning outcome with content and assessment

e) Additional readings or selected readings for each lecture

f) Summary for each lecture

g) Worksheets/case study/essays/exercises/assignments/practice problems for each lecture

h) Links of related videos

i) Tutorials

j) References

k) Teaching notes/instructions for each lecture

l) Turnitin report of the complete course pack

**2.3.5.6 Evaluation Criteria**

The course pack should be evaluated by the APDRC and the external reviewers based on, but not limited to, the following. APDRC can also prepare a matrix for evaluation based on these guidelines:

- Comprehensiveness of the content
- Novelty of proposed teaching methodologies
- Appropriateness of proposed assessment tools
- Clarity of teaching instructions
- Coverage of the CLOs by the course pack

## 2.3.6    List of Journals Not Accepted in DU

With the intent of ensuring quality publications by DU faculty members, the Department of Research, through URC, shall publish a list of journals NOT accepted by DU by 30th June each year(Beall's List ). This list shall be applicable for the entire ensuing academic year. If any faculty member published a research paper in any journal mentioned in the list, **it will not be** considered as publications acceptable to DU. Additionally, such faculty may be subject to disciplinary action as per Academic Integrity Policy and DU Bylaws. The journals are categorized into three main categories:

(a) Blacklisted Journals List

(b) Predatory Journals List

(c) Hijacked Journals List

However, if a journal is appearing in the above blacklisted journal list or predatory list but is also indexed in Scopus or Web of Science database, then in that case DU will accept the publications in that journal.

However if the journal is in hijacked journal list it will NOT be accepted under any circumstances. The list shall be revised, updated and circulated by 30 June of each academic year and will be applicable from 1st September up till 31st August of each academic year. Similarly the Arabic list A and B of refereed Arabic journals shall be revised each year and published by 30 June of the year and will be applicable from 1st September up till 31st August of each academic year.

## 2.4 Procedure to apply for leave to attend Seminar/Conferences/Workshops/any other event approved by College Dean on self-finance basis

a) The faculty member who wish to attend the Seminar/Conferences/Workshops/any other event approved by College Dean on self-finance basis (without requesting grant) should submit the request for Research leave electronically (form downloadable from DU website) along with the supporting documents (research paper, conference details and acceptance letter) to the Department Chair.

b) The Chair after reviewing the request shall forward the approved application electronically to the College Dean within two days of receiving it from the applicant.

c) The Dean after approving shall forward the approved application to DR electronically.

d) The DR will prepare the approval letter and will send it to the faculty member. The DR shall also notify the HR department regarding the approval.

## 2.5 Procedure for Approval of Distribution of Internal/External Questionnaire

### 2.5.1 Questionnaire for Internal/External Distribution by DU Students

a) The questionnaire for internal/external distribution by Under Graduate students will require the approval of the Project supervisor and the Department Chair.

b) The Post Graduate questionnaires prepared mainly by Master students will require approval of the supervisor and the Postgraduate Research Committee of the respective College.

### 2.5.2 Questionnaire for Internal/External Distribution by Faculty Members

c) The faculty members at DU should submit the request for distribution of questionnaire to DR electronically.

d) DR will forward the questionnaires electronically to the URC Chair for evaluation within two days from the date of receipt.

e) The URC Chair shall return the approved questionnaire along with the recommendations (if any) to DR within one week from the date of receiving the application.

f) The applicant shall receive an approval letter from the DR for distribution.

g) The e-questionnaires can be circulated upon applicants' request, however, the request for circulating the hard copy will not be entertained.

### 2.5.3 Questionnaire for Internal Distribution by External Researchers/Students

The procedure for processing the request for distribution of questionnaires received from researchers/students outside DU is similar to section 2.5.2. The approved e-questionnaires from the external researchers/students shall be circulated by DR to the required stakeholders. The faculty members should ensure that the e-questionnaires circulated by DR are filled as per the deadline. The faculty members should also facilitate the distribution process among students if required.

**Contact Us at:**
Ms. Sarah Iqbal khan
Department of Research
E: siqbal@du.edu.om, T: 23 23 7491

Ms. Amal Al Murfadi
TRC Research Focal Point & IPEC Chair
E: aalmurfadi@du.edu.om, T: 23 23 7490